



远源證券有限公司

Theia Securities Limited

SFC Licensed Corporation 證監會持牌法團 (CE# 中央編號: BJW079)

Suite 5103, 51/F, Central Plaza, 18 Harbour Road, Hong Kong

香港灣仔港灣道 18 號中環廣場 51 樓 5103 室

Tel 電話: (852) 3168 0320 Fax 傳真: (852) 3168 0330 Email 電郵: cs@theiasec.com

ACCOUNT OPENING FORM (CORPORATE ACCOUNT)

開戶表 (公司帳戶)

Account Type 帳戶類別:	<input checked="" type="checkbox"/> Cash Account 現金帳戶	<input type="checkbox"/> Margin Account 保證金帳戶
Electronic Trading Services (Internet Channel) 電子交易服務 (互聯網):	<input checked="" type="checkbox"/> YES 是	<input type="checkbox"/> NO 否

1. CORPORATE INFORMATION 公司資料

Client Name: (English 英文) _____

客戶名稱: (Chinese 中文) _____

Account Name (if different) 帳戶名稱 (如與上述不同): _____

Nature of entity 組織類別
 Listed Company 上市公司 Unlisted Company 非上市公司 Partnership 合夥經營
 Sole Proprietorship 獨資經營 Others 其他: _____

Business Registration No. 商業登記證號碼: _____
 Certificate of Incorporation No. 公司註冊證書號碼: _____

Country of Incorporation 成立國家: _____
 Date of Incorporation 成立日期: _____ dd日/ _____ mm月/ _____ yy年

Tel No. 電話號碼: _____ Fax No. 傳真號碼: _____ Nature of Business 業務性質: _____

E-mail Address 電郵地址: _____ Contact Person 聯絡人: _____

Registered Address 註冊地址: _____

Principal Place of Business in Hong Kong (if different) 在香港之主要營業地址 (如與上述不同): _____

All combined daily statement of account and contract notes, monthly statement and correspondence to be sent to (please '✓' one only)
 所有綜合成交單據及帳戶日結單, 月結單及通訊送交(只可 '✓' 一項)

E-mail Address (Free) 電郵地址 (免費) Registered Address (HKD50 per month) 註冊地址 (月費 50 港元) Principal Business Address (HKD50 per month) 主要營業地址 (月費 50 港元)

Statement Language 結單語言 简体中文 繁體中文 English

Bank Account Information 銀行戶口資料

Unless otherwise instructed by client, all monies payable to client is to be credited to the following bank account

除經客戶另行指示外, 付予客戶的款項將存入下列銀行帳戶

(Bank account name must be in the name of the Client 銀行戶口名稱必需與客戶名稱相同)

Name of Bank 銀行名稱: _____ HKD 港幣 Bank Account No. 銀行戶口號碼: _____

Name of Bank 銀行名稱: _____ CNY 人民幣 Bank Account No. 銀行戶口號碼: _____

2. FINANCIAL STATUS 財務狀況

Authorized Capital 法定股本		Paid-up Capital 發行股本	
Latest Annual profit (after tax) 最近的除稅後純利 Year 年份 _____	<input type="checkbox"/> Loss 虧損 HK\$ _____ <input type="checkbox"/> < HK\$500,000 <input type="checkbox"/> HK\$500,000 – HK\$1,000,000 <input type="checkbox"/> HK\$1,000,001 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001-HK\$10,000,000 <input type="checkbox"/> >HK\$10,000,000	Latest Net Assets Value 最近的資產淨值 Year 年份 _____	<input type="checkbox"/> < HK\$1,000,000 <input type="checkbox"/> HK\$1,000,000 – HK\$5,000,000 <input type="checkbox"/> HK\$5,000,001 – HK\$10,000,000 <input type="checkbox"/> HK\$10,000,001-HK\$50,000,000 <input type="checkbox"/> >HK\$50,000,000



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3. INVESTMENT EXPERIENCES AND OBJECTIVES 投資經驗及目的				
I. Investment Experiences 投資經驗			Year(s) of experiences 年資	
<input type="checkbox"/> Shares 股票				
<input type="checkbox"/> Warrants/CBBC/Exchange Traded Fund 認股權證/牛熊證/交易所買賣基金				
<input type="checkbox"/> Futures/Options 期貨/期權				
<input type="checkbox"/> Bonds 債券				
<input type="checkbox"/> Others 其他 _____				
II. Knowledge on derivative products 對衍生產品的認識				
1. Does/Do the authorized person(s) has/have executed five or more transactions in any derivative product (whether traded on an exchange or not), within the past three years. 獲授權人有否曾在過去三年內買賣過五次或以上有關衍生產品的交易(不論是否在交易所買賣)			<input type="checkbox"/> YES 是	<input type="checkbox"/> NO 否
2. Has/Have the authorized person(s) ever undergone training or attended courses on derivative products 獲授權人過去有否曾接受過有關衍生產品的培訓或修讀相關課程			<input type="checkbox"/> YES 是	<input type="checkbox"/> NO 否
3. Does/Do the authorized person(s) has/have any work experience related to derivative products 獲授權人現時或過去有否從事與衍生產品有關的工作經驗			<input type="checkbox"/> YES 是	<input type="checkbox"/> NO 否
Name(s) of authorized person(s) for making investment decisions 負責投資決定人士之姓名				
<input type="checkbox"/> If No, I/We have read and understood the Risk Disclosure Statement - Risk of Exchange-Trade Structured Products ("Structured Products") e.g. Derivative Warrants ("Warrants"), Callable Bull/Bear Contracts ("CBBC") included in the Client Agreement. 如否, 本人/吾等已閱讀及明白包括於客戶協議中的風險披露聲明-買賣交易所買賣之結構性產品(結構性產品)(例如: 衍生權證(權證), 牛熊證)的一些相關風險				
III. Investment Objectives 投資目的				
<input type="checkbox"/> Capital Growth 資本增值	<input type="checkbox"/> Capital Preservation 保本	<input type="checkbox"/> Dividend Income 股息收入	<input type="checkbox"/> Hedge 對沖	<input type="checkbox"/> Speculation 投機
4. PARTICULARS OF ALL DIRECTORS 所有董事資料				
	Name 姓名	ID /Passport No. 身份證/護照號碼	Residential Address 居住地址	
1				
2				
3				
4				
5. PARTICULARS OF SOLE PROPRIETOR / ALL PARTNER(S) / ALL ULTIMATE SHAREHOLDER(S) (NOT APPLICABLE TO LISTED COMPANY) 獨資經營者/ 所有合夥人/ 所有最終股東個人資料 (不適用於上市公司)				
	Name 姓名	% owned 擁有%	Tel No. 電話號碼	Residential Address 居住地址
1		%		
2		%		
3		%		
4		%		
6. AUTHORIZED PERSON(S) 授權人				
	Authorized Person's Name 授權人姓名	ID /Passport No. 身份證/護照號碼	Tel No. 電話號碼	Specimen Signature 簽名式樣
Signing Instruction 簽署指示: <input type="checkbox"/> Anyone can sign singly 單簽 <input type="checkbox"/> Any two must sign jointly 任何兩人同簽 <input type="checkbox"/> Others 其他: _____				



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7. DISCLOSURE OF IDENTITY & RELATED ACCOUNT 披露身份及關連帳戶

i. We declare and confirm that (please '✓' as appropriate): 吾等聲明及確認如下(請於適當處 '✓'):

We are the ultimate beneficial owner of the Account; or 本人/吾等乃帳戶之最終實益擁有人; 或

We are not the ultimate beneficial owner of the Account. The ultimate beneficial owner(s) is/are; 本人/吾等並非帳戶之最終實益擁有人。最終實益擁有人如下:

Name ID/Passport/C.I./BR No.

姓名: _____ 身份證/護照/公司註冊証/商業登記証號碼: _____

Address Tel. No.

地址: _____ 電話號碼: _____

ii. Are you a member or participant registered with any stock or commodities exchange or are you regulated or supervised by any government or regulatory agency? 閣下是否任何證券或期貨交易所的註冊會員或受任何政府或監管機構所規管或監督?

No Yes Name of licensed corporation or registered institution

否 是 持牌法團或註冊機構名稱: _____

iii. Do you, the shareholder(s), director(s), partner(s), authorized person(s) or the ultimate beneficial owner(s) of the Account ("Relevant Person(s)"), have any relationship with the director(s) or employee(s) of Theia Securities Limited? 閣下作為此帳戶之股東、董事、合夥人、獲授權人或最終實益擁有人(「有關人士」)是否與遠源證券有限公司之董事或僱員有親屬關係?

No Yes Name of the Relevant Person(s)

否 是 有關人士之姓名: _____

Name of the director(s) or employee(s)

董事或僱員之姓名: _____

Relationship: Spouse Parent Sibling Child Others (please specify)

關係 配偶 父母親 兄弟姊妹 子女 其他(請說明): _____

iv. Are you, the shareholder(s), director(s), partner(s), authorized person(s) or the ultimate beneficial owner(s) of the Account a director or employee of Theia Securities Limited? 閣下作為此帳戶之股東、董事、合夥人、獲授權人或最終實益擁有人是否遠源證券有限公司之董事或僱員?

No Yes Name of the director or employee

否 是 董事或僱員之姓名: _____

v. Are you and/or your company's director/shareholder control of 35% or more of the voting rights of any client of Theia Securities Limited? 閣下及/或閣下之董事/股東是否控制任何遠源證券有限公司的客戶 35%或以上的投票權?

No 否 Yes 是 Name 姓名: _____ Account No 帳戶號碼: _____

vi. Is any member of your group of companies a client of Theia Securities Limited? 閣下的公司集團內任何成員是否遠源證券有限公司之客戶?

No 否 N/A 不適用 Yes 是 Name 姓名: _____ Account No 帳戶號碼: _____

8. TAX RESIDENCY 稅務居民資料

Part 1 第一部: Entity Type 實體類別

Financial Institution 金融/財務機構

Custodial Institution, Depository Institution or Specified Insurance Company

託管機構、存款機構或指明保險公司

Investment Entity, except an investment entity that is managed by another financial institution (e.g. with discretion to manage the entity's assets) and located in a non-participating jurisdiction

投資實體, 但不包括由另一金融/財務機構管理(例如: 擁酌情權管理投資實體的資產並位於非參與稅務管轄區的投資實體)



Active NFE 主動非財務實體

- NFE the stock of which is regularly traded on _____, which is an established securities market
該非財務實體的股票經常在 _____ (一個具規模證券市場) 進行買賣
- Related entity of _____, the stock of which is regularly traded
的有關連實體，該有關連實體的股票經常在
on _____, which is an established securities market
(一個具規模證券市場) 進行買賣
- NFE is a governmental entity, an international organisation (for example the United Nations or North Atlantic Treaty Organisation ("NATO")), a central bank, or an entity wholly owned by one or more of the foregoing entities
政府實體、國際組織 (例如聯合國或北大西洋公約組織「NATO」)、中央銀行或由前述的實體全權擁有的其他實體
- Active NFE other than the above (for example a start-up NFE or a non-profit NFE)
除上述以外的主動非財務實體 (例如新成立的非財務實體或非牟利的非財務實體)

Passive NFE 被動非財務實體 (Please complete Part 2 (請填寫第二部))

- Investment entity that is managed by another financial institution and located in a non-participating jurisdiction
位於非參與稅務管轄區並由另一金融 / 財務機構管理的投資實體
- NFE that is not an Active NFE
不屬主動非財務實體的非財務實體

Part 2 第二部: Controlling Persons (Complete this part if the entity account holder is a passive NFE) 控權人 (如實體帳戶持有人是被动非財務實體，填寫此部)

Indicate the name of all controlling person(s) of the account holder in the table below. If no natural person exercises control over an entity which is a legal person, the controlling person will be the individual holding the position of senior managing official. Complete Controlling Person Tax Residency Self-Certification Form (CRS-CP (HK)) for each controlling person.

就帳戶持有人，填寫所有控權人的姓名在列表內。就法人實體，如行使控制權的並非自然人，控權人會是該法人實體的高級管理人員。每名控權人須分別填寫一份控權人稅務居民自我證明表格(CRS-CP (HK))。

(1)	(5)
(2)	(6)
(3)	(7)
(4)	(8)

Part 3 第三部: Jurisdiction of Residence and Taxpayer Identification Number or its Functional Equivalent ("TIN"): 居留司法管轄區及稅務編號或具有等同功能的識別編號 (以下簡稱「稅務編號」)

Pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance, please provide your jurisdiction of residence where the account holder(s) is a resident for tax purposes and TIN for each jurisdiction indicated. If a TIN is unavailable, provide the appropriate reason A, B or C:

根據<稅務條例>有關交換財務帳戶資料的法律條文，請提供帳戶持有人的稅務編號。如沒有提供稅務編號，必須填寫合適的理由：

Reason A : The jurisdiction where the account holder is a resident for tax purposes does not issue TINs to its residents.

理由 A 帳戶持有人的居留司法管轄區並沒有向其居民發出稅務編號。

Reason B : The account holder is unable to obtain a TIN. Explain why the account holder is unable to obtain a TIN if you have selected this reason.

理由 B 帳戶持有人不能取得稅務編號。如選取這一理由，解釋帳戶持有人不能取得稅務編號的原因。

Reason C : TIN is not required. Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.

理由 C 帳戶持有人毋須提供稅務編號。居留司法管轄區的主管機關不需要帳戶持有人披露稅務編號。

If the account holder is not a tax resident in any jurisdiction (e.g. fiscally transparent), indicate the jurisdiction in which its place of effective management is situated. 如果帳戶持有人並非任何稅務管轄區的稅務居民 (例如：它是財政透明實體，填寫實際管理機構所在的稅務管轄區。)



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The Account holder is a **HONG KONG** Tax residence, the TIN is the Hong Kong Business Registration Number

帳戶持有人是**香港**稅務居民，稅務編號是其香港商業登記號碼

The Account holder is **other than HONG KONG** Tax residence 帳戶持有人是**香港以外**稅務居民

Jurisdiction of Residence 稅務管轄區	1.	2.	3.
TIN 稅務編號	1.	2.	3.
Enter Reason A,B or C if no TIN is available 沒有稅務編號理由	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C	<input type="checkbox"/> Reason A 理由 A <input type="checkbox"/> Reason B 理由 B <input type="checkbox"/> Reason C 理由 C
Explanation to selected Reason B 選取理由 B 的原因			

WARNING: It is a serious offence under the Inland Revenue Ordinance if any person, in making a self-certification, makes a statement that is misleading, false or incorrect in a material particular AND knows, or is reckless as to whether, the statement is misleading, false or incorrect in a material particular. Heavy penalty may apply upon conviction.

警告：根據《稅務條例》，如任何人在作出自我證明時，在明知一項陳述在要項上屬具誤導性、虛假或不正確，或罔顧一項陳述是否在要項上屬具誤導性、虛假或不正確下，作出該項陳述，即屬嚴重罪行。一經定罪，可致重罰。

DECLARATION BY CLIENT 客戶聲明

By signing this Part, We declare, acknowledge and confirm that:

倘簽署本部份，吾等即聲明、同意及確認：

- the information provided in this Account Opening Form is complete, true and accurate. I/We will notify Theia Securities Limited (“THEIA”) immediately of any material changes to the above information;
本開戶表提供的資料均為完整、真實及準確。如開戶表內的資料有任何變更，本人/吾等將會立刻知會遠源證券有限公司(“遠源證券”)有關的資料變更;
- any information contained in this Account Opening Form may be provide to a reporting financial institution for the purpose of automatic exchange of financial account information. We agree that (a) the information contained in this form is collected and may be kept by THEIA for the purpose of automatic exchange of financial account information, and (b) such information and information regarding the account holder and any reportable account(s) may be reported by the Company to the Inland Revenue Department of the Government of the Hong Kong Special Administrative Region and exchanged with the tax authorities of another jurisdiction or jurisdictions in which the account holder may be resident for tax purposes, pursuant to the legal provisions for exchange of financial account information provided under the Inland Revenue Ordinance (Cap.112). We undertake to advise THEIA of any change in circumstances which affects the tax residency status of the Account Holder(s) of this Account Opening Form or causes the information contained herein to become incorrect, and to provide THEIA with a suitably updated self-certification form within 30 days of such change in circumstances;
在本開戶表上所記載之資料，將有可能以作自動交換財務帳戶資料用途。吾等知悉及同意，遠源證券可根據《稅務條例》(第 112 章)有關交換財務帳戶資料的法律條文 (a) 收集本表格所載資料並可備存作自動交換財務帳戶資料用途及 (b) 把該等資料和關於帳戶持有人及任何須申報帳戶的資料向香港特別行政區政府稅務局申報，從而把資料轉交到帳戶持有人的居留司法管轄區的稅務當局。吾等承諾，如情況有所改變，以致影響本開戶表所述的個人的稅務居民身分，或引致本開戶所載的資料不正確，本人會通知遠源證券，並會在情況發生改變後30日內，向遠源證券提交一份已適當更新的自我證明表格；
- the FATCA Self-Certification Form was provided to us and we have read, understood and confirmed, and agree to be bound by all the provisions of this form and terms set out in the appendix;
吾等已獲提供美國海外帳戶FATCA聲明書，並已閱讀、明白和確認及同意前述之聲明書及附件一所列條款，並同意接受期約束；
- the Risk Disclosure Statements was provided to me/us in a language of the our choice (English or Chinese) and we have been invited to read the Risk Disclosure Statements, to ask questions and take independent advice if we so wished;
吾等已獲提供風險披露聲明(英文或中文)，及已獲邀閱讀該風險披露聲明，並按其意願提出問題及徵求獨立的意見；
- the contents of the relevant and applicable parts of Terms and Conditions have been fully explained to us in a language which we understand; and
帳戶條款之內容及條件之相關及適用部份已以吾等明白的語言向吾等作出充份解釋；及



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- We have read, understood and confirmed, and agree and accept to be bound by all the provisions of this Account Opening Form, the Client Agreement, Terms and Conditions applicable to the type of Account(s) that we applied to open with THEIA.

吾等已閱讀、明白和確認及同意本客戶資料表、客戶協議書及有關與遠源證券申請開立的有關類別帳戶之一切有關條款，並同意接受其約束。

We have read and understood the contents of the Personal Information Collection Statement of THEIA, and agree to its terms. We acknowledge receipt of a copy of the Personal Information Collection Statement.

吾等已參閱及明白遠源證券的個人資料收集聲明(「聲明」)，並且同意其條款。吾等確認已收妥該聲明的副本。

We have hereby consent to the contents of the Personal Information Collection Statement and the use of our personal data by THEIA in direct marketing and we understand that we can exercise the opt-out right by notifying THEIA in writing from time to time.

吾等謹此同意該聲明的所有內容及同意遠源證券使用吾等的個人資料作直接促銷用途，並明白吾等可以隨時以書面形式通知遠源證券以行使吾等的選擇權拒絕促銷。

We do not consent to the use of our personal data in direct marketing.

吾等不同意使用吾等的個人資料於直接促銷。

Client Signature with company chop 客戶簽名並蓋章

Name of Authorized Person :

授權人姓名: _____

Date日期: _____dd日 _____mm月 _____yy年

IF THIS DOCUMENT IS NOT EXECUTED BY THE CLIENT(S) IN FRONT OF THEIA'S EMPLOYEE OR SUBMITTED WITH AN APPROPRIATE CHEQUE (#), BELOW SHOULD BE SIGNED BY A SUITABLE CERTIFIER¹ [if applicable]

若客戶並非在遠源證券的僱員面前簽立此文件或連同適當的支票(#)一併遞交，則以下應由適合的證明人簽署 [若適用者]

The undersigned* hereby certifies the signing of this Account Opening Form by the Client and the sighting of the related identity of the Client. 以下簽署人* 特此核證客戶簽署本開戶表及見證客戶的有關身份證明文件。

Signed and Certified by
見證人簽名及核證:

Name of Witness
見證人姓名

Occupation /Profession
職業/所屬專業

CE No
中央編號

Contact details

Date日期 ____dd日 ____mm月 ____yy年 聯絡資料 _____

¹ * Where this Account Opening Form is not executed by the Client(s) in front of Theia Securities Limited's employee or submitted with an appropriate cheque, this Account Opening Form must be certified by (a) any HK SFC licensed or registered person; (b) an affiliate of such person stated as (a); (c) a Justice of the Peace; or (d) a professional person such as a branch manager of a bank, a certified public accountant, a lawyer or a notary public. 如本開戶表並非在遠源證券有限公司的員工面前簽名或連同適當的支票 # 一併遞交，則本開戶表必需由 (a) 任何香港證監會持牌人或註冊人士; (b) 以上(a) 之聯繫人士; (c) 太平紳士; 或(d) 專業人士例如銀行分行經理、執業會計師、律師或公證人核證其簽名。

A crossed cheque bearing your name shown in your identity document and drawn on your account with a licensed bank in Hong Kong with your same signature(s) as shown on this Form in favour of "Theia Securities Limited" for not less than HKD10,000. Your approved new account will not be activated until the cheque is cleared. 客戶在香港的持牌銀行開立的賬戶並由客戶所簽發(該簽名需與此開戶表上的客戶簽名相符)並載有客戶在其身份證明文件上所顯示的姓名的劃線支票，而該支票抬頭人需為 "遠源證券有限公司" 及其數額不得少於 10,000 港元。客戶被批核的新賬戶必需待支票兌現後才可使用。



远源證券有限公司

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Risk Disclosure Statement 風險披露聲明 (to be completed by the Company 由本公司填寫)

I/We, THEIA representative(s), hereby declare and confirm that I/we have provided the risk disclosure statement annexed hereto in a language of Client's Choice (English/Chinese); and the Client was invited to read this risk disclosure statement, to ask questions and take independent advice if the Client so wished.

本人/吾等為遠源證券的註冊職員，並謹此聲明及確認本人/吾等已按照上述客戶所選擇的語言(英文或中文) 提供附於本表的風險披露聲明；及客戶已被邀請閱讀此風險披露聲明書、提出問題及徵求獨立的意見（如客戶有此意願）。

Where a Margin Account is to be opened, the Client has also been informed that THEIA has the practice of repledging securities collateral. 如客戶欲開立之帳戶為保證金帳戶，亦已通知客戶遠源證券會再質押證券抵押品。

Signature of Licensed Person 持牌人簽名	Name of Licensed Person 持牌人姓名	CE No. 中央編號	Date (dd/mm/yy) 日期(日/月/年)	<input type="checkbox"/> Face to Face 面對面 <input type="checkbox"/> Telephone 電話	Recorded Line No 電話錄音號碼	Time 時間
_____	_____	_____	_____	_____	_____	_____

**Approved and Accepted by Theia Securities Limited
遠源證券有限公司核准及接納**

Authorized Signature 授權簽名
Name 姓名

_____ dd 日 mm 月 yy 年
Date 日期

Terms and Conditions of Client Agreement 證券客戶協議書之條款及條件	Version : 版本
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STANDING AUTHORITY 常設授權

STANDING AUTHORITY GENERAL TERMS (FOR ALL TYPES OF ACCOUNTS) 常設授權通用條款 (適用於所有帳戶)



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STANDING AUTHORITY 常設授權

Unless otherwise specified, any term in this Standing Authority shall have the same meaning as defined and amended in the Securities and Futures Ordinance, Securities and Futures (Client Money) Rules and Securities and Futures (Client Securities) Rules from time to time. 除文義另有所指外，於本常設授權書內的任何名詞，與《證券及期貨條例》、《證券及期貨（客戶款項）規則》及《證券及期貨（客戶證券）規則》不時修訂之定義具有相同意思。

The Standing Authority is valid for a period of 12 months from the date hereof, subject to renewal by me/our or deemed renewal under the Client Money Rules or Client Securities Rules (as the case may be). 按照由客戶續期或根據客戶款項規則或客戶證券規則（視乎情況而定）當作已被續期所制約下，本常設授權書的有效期限為十二（12）個月，自本常設授權書之簽發日起計有效。

I/We understand that I/we may revoke this Standing Authority by giving written notice to Theia Securities Limited (“THEIA”) at the above address. The effective date of the revocation shall be 30 days from the date of THEIA’s receipt of the written notice. 本人/吾等明白本人/吾等可以以書面形式向遠源證券有限公司（“遠源”）於上述所列明之地址發出通知，撤回本授權書。撤回本授權書之生效日期為遠源收到該通知後起計三十（30）天。

I/We understand that a notice of renewal of the Standing Authority shall be sent to me/us at least 14 days prior to its expiry. If THEIA does not receive a letter of objection to the renewal of the Standing Authority prior to its expiry, I/we shall be deemed to have agreed to renew the Standing Authority for a period of 12 months upon the terms and conditions as specified in the Standing Authority. 本人/吾等明白常設授權續期通知書將於常設授權屆滿前最少十四天寄予本人/吾等。如遠源於常設授權有效期屆滿前未有接獲本人/吾等書面反對，則本人/吾等之常設授權會在屆滿時按照常設授權的條款及細則視為同意續期十二個月。

This Standing Authority shall remain effective until the expiration date or until the Standing Authority is revoked by me/us, whichever is earlier. 除非本常設授權書到期或於到期前被撤回（以較早者為準），否則本常設授權書保持有效。

I/We understand and agree that THEIA has the rights to suspend my/our account(s) held with THEIA and request me/us to provide more information if there are any abnormal or suspicious activities in my/our account(s). 本人/吾等明白及同意，若本人/吾等的帳戶有任何不尋常或可疑活動，遠源有權凍結本人/吾等的帳戶並要求本人/吾等的帳戶提供更多資料。

I/We confirm that this Standing Authority has been explained to me/us and I/we fully understand the contents of this Standing Authority and have sought, or have had the opportunity to seek, legal advice concerning its contents and effect. 本人/吾等確認遠源已向其解釋本常設授權書，本人/吾等完全明白本常設授權書的內容，並已經或有機會就其內容及效力尋求法律顧問的意見。

I/We agree that THEIA may contact me/us via telephone or e-mail from time to time, for the purpose of improving client communication and delivering better quality customer service. 本人/吾等同意遠源可以不時以電話或電郵聯絡本人/吾等，以改善客戶溝通及提供更優質客戶服務為目的。

I/We understand that, in the event of any discrepancy between the English and Chinese version, the English version shall prevail. 本人/吾等明白，倘若中文版本與英文版本在解釋或意義方面有任何歧義，應以英文版本為準。

STANDING AUTHORITY UNDER THE SECURITIES AND FUTURES (CLIENT MONEY) RULES 證券及期貨（客戶款項）規則規定的常設授權

This Standing Authority covers money held or received by THEIA in Hong Kong and overseas (including any interest derived from the holding of the money which does not belong to THEIA) in one or more segregated account(s) on my/our behalf (“Monies”). I/We hereby authorize THEIA to handle the Monies on my/our behalf. 本常設授權是涵蓋遠源為本人/吾等在香港以及海外收取或持有並存放於一個或多個獨立帳戶內之款項（包括因持有並非屬於遠源之款項而產生之任何利息）（下稱「款項」）。本人茲授權遠源處理此等款項。

Regarding the Monies held or received by THEIA in Hong Kong, I/we hereby further authorize THEIA to:- 就遠源為吾等在香港收取或持有的款項，本人/吾等進一步授權遠源：

1. Combine or consolidate any or all segregated accounts, of any nature whatsoever and either individually or jointly with others, maintained by THEIA from time to time, and THEIA may transfer any sum of Monies to and between such segregated account(s) to satisfy our obligations or liabilities to THEIA, whether such Obligations and liabilities are actual or contingent, primary or collateral, secured or unsecured, joint or several; and 組合或合併遠源所維持的任何性質的任何或全部獨立帳戶，此等組合或合併活動可以個別地或與其他帳戶聯合進行，遠源可將該等獨立帳戶內任何數額之款項作出轉移，以解除吾等對遠源的義務或法律責任，不論此等義務和法律責任是確實或或然的、原有或附帶的、有抵押或無抵押的、共同或分別的；及



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STANDING AUTHORITY 常設授權

2. Set-off or transfer any sum of Monies interchangeably between any of the segregated accounts maintained at any time by THEIA towards satisfaction of any of our liabilities to THEIA; and 遠源可將款項的任何款額任何時間維持的獨立帳戶之間轉入轉出以結清吾等對遠源負有的債務；及
3. Exchange our Monies into any other currency(ies) at the rate of exchange conclusively determined by THEIA. 可將帳戶內的款項以遠源最終確定的匯率兌換成任何其他貨幣。

Regarding the Monies held or received by THEIA overseas, I/we hereby further authorize THEIA to:- 就遠源為吾等在海外收取或持有的款項，本人／吾等進一步授權遠源：

1. Use all or part of the Monies at its discretion without prior notice, confirmation and/or instructions for the purposes of sale and purchase of overseas securities and/or compliance with settlement and/or deposit requirements. THEIA is authorized to: 本常設授權書授權遠源不需事先通知或取得的確認及／或指示可酌情動用款項的全部或部份作買賣海外證券之用、符合交收或按金要求及其他用途。遠源有權；
2. Pay/transfer any sum of Monies to my/our securities account held with THEIA, the futures account(s) of any overseas financial institution(s) and/or overseas clearing firm(s) and their successors for the purpose of trading or meeting the settlement or margin requirement (if applicable) of my/our overseas securities transactions; 將任何數額之款項支付／轉往本人／吾等於遠源的帳戶及／或任何海外金融機構及／或結算公司的期貨帳戶及其繼承人及受讓人以作本人／吾等買賣海外證券之用或符合交收或按金的要求（如適用）；及／或
3. Transfer the Monies interchangeably between the segregated account(s) opened and maintained by THEIA in Hong Kong and the segregated account(s) opened and maintained by THEIA with any overseas financial institution(s) and/or overseas clearing firm(s) outside Hong Kong; and/or 從遠源在香港或其他地方設立之一或多個獨立帳戶及在任何海外金融機構及／或結算公司設立之獨立帳戶或於該等帳戶之間來回調動；及／或
4. Enter into foreign exchange contracts necessary to facilitate the purchase or meet the settlement or margin requirement (if applicable) of the overseas securities on or before the date when the Monies are required to be converted into other currencies for payment at market rates in accordance with THEIA's normal practice. THEIA has sole discretion to decide the content of the foreign exchange contracts including but not limited to the timing. 訂立外幣兌換合約，適用於當日或之前為了購買海外期貨合約之用或符合交收或按金的要求（如適用）而需要將資金轉換為其他貨幣，此等兌換合約按遠源慣例並以市場匯率訂立。外幣兌換合約的內容（包括但不限於訂約時間）由遠源全權決定。

I/We understand that THEIA can take any of the above actions without giving notice to me/us. 遠源可以不向本人／吾等發出通知而採取上述行動。

I/We understand that this Standing Authority is given to THEIA in consideration of THEIA's agreement in opening and continuous maintaining Securities Cash/Futures Trading Account(s) with THEIA for me/us. 本人／吾等明白本常設授權乃鑑於遠源同意開立及繼續維持吾等的證券現金／期貨交易帳戶。

I/We understand this Standing Authority is given without prejudice to other authorities or rights which THEIA may have in relation to dealing in Monies in the segregated accounts. 本人／吾等明白本人／吾等的證券可能受制於第三者之權利，遠源可於全數抵償該等權利後，方可將本人／吾等的證券退回給本人／吾等。

I/We acknowledge and confirm that my/our assets (including the Monies) received or held by THEIA overseas are subject to applicable laws and regulations of the relevant overseas jurisdiction which may be different from the Securities and Futures Ordinance (Cap.571) and the rules made thereunder. Consequently, such assets may not enjoy the same protection as that conferred on my/our assets received or held in Hong Kong. 本人／吾等確認，遠源在香港以外地方收取或持有的本人／吾等的資產，是受到有關海外司法管轄區的適用法律及規例所監管的。這些法律及規例與《證券及期貨條例》（第 571 條）及根據該條例制訂的規則可能有所不同。因此，有關資產有可能不會享有賦予本人／吾等在香港收取或持有的資產的相同保障。

(Individual/ Primary Joint Account Holder) (個人 / 基本聯名賬戶持有人)
Client Signature 客戶簽名:

(Second Joint Account Holder) (第二聯名賬戶持有人)
Client Signature 客戶簽名:

Client Name 客戶名稱:
Date 日期: dd 日 mm 月 yyyy 年

Client Name 客戶名稱:
Date 日期: dd 日 mm 月 yyyy 年



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Checklist of Documentation for Account Opening 開戶文件核對清單

- Signed copy of Account Opening Form (Corporate Account)
已簽署之開戶表(公司帳戶)
- Certified extract of Board Resolution (see the form overleaf)
經認證之董事會決議摘要 (如後頁)
- Certified Copy of HKID Card or China Resident ID Card & Passport of Director(s) and authorized signatory(ies)
經認證之董事及授權簽署人之香港身份證或國內身份證及護照副本
- Certified Copy of Register of Directors and Members
經認證之董事名單及股東名單
- Certified Copy of Certificate of Incorporation
經認證之公司註冊證書副本
- Certified Copy of valid Business Registration Certificate (if applicable)
經認證之商業登記證副本(如適用)
- Certified Copy of Memorandum and Articles of Association
經認證之組織章程大綱及細則副本
- Certified Copy of the Latest Audited Accounts
經認證最近期之已審核年報副本
- Registered Agent's Certificate and Certificate of Good Standing from the Registrar of Companies of the country of incorporation and the certified relevant pages of the statutory book evidencing appointment of the directors (applicable to oversea company)
其海外註冊代理人之證書及海外公司註冊官簽發的信譽證書及經認證有關的董事委任記錄 (適用於海外公司)
- Signed copy of Self-Certification Form for Foreign Account Tax Compliance Act ("FATCA")(Entity)
已簽署之海外帳戶稅收合規法案("FATCA")的客戶聲明書【公司/機構】
- Signed copy of W-8 / W9 (if applicable)
已簽署之W-8 / W9 (如適用)
- Signed copy of Shanghai-Hong Kong Connect and Shenzhen-Hong Kong Stock Connect Market Services Acknowledgement (if applicable)
已簽署之滬港通及深港通服務確認書(如適用)
- Signed copy of Personal Information Collection Statement Concerning Stock Connect Northbound Trading (if applicable)
已簽署之關於滬深港通北向交易的個人資料收集聲明(如適用)
- Risk Profiling Questionnaire
風險評估問卷



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Client AML Risk Category Checklist 客戶反洗錢風險級別對照表 (FOR OFFICE USE ONLY - Corporate Account)			
Risk Level 風險水平	LOW 低	NORMAL 一般	HIGH 高
風險評估 Risk Assessment	<input type="checkbox"/> Financial institutions ("FI")★ 金融機構 ("FI") ★	<input type="checkbox"/> Sole proprietorships, associations, clubs, societies, co-operative and provident societies (with no PEP as the beneficial owner) 獨資企業、會社、會所、社團、合作社和供積金社團 (沒有實益擁有人為政治人物)	<input type="checkbox"/> Politically Exposed Persons ("PEPs") and their close associates/Client matches with the watch list provided by 3rd party service provider/Client is subject to adverse information on internet search/Client's origin of wealth or ownership cannot be easily verified 政治人物 ("PEPs") 及其關係密切的人/與第三方服務提供者所提供的監察名單吻合的客戶/客戶網上資料負面/客戶財富來源或擁有權不輕易核實 Refers to the account holder, major shareholders of company or organization (owning 25% or more of the equity), partners, directors, authorized signatories or senior management. 指個人、公司或機構之主要股東<擁有 25%或以上股權>、合夥人、董事、授權簽署人或高級管理層
	<input type="checkbox"/> Listed companies ★ 上市公司 ★	<input type="checkbox"/> Limited private companies★ (with no PEPs as one of the director(s), shareholder(s) or beneficial owner(s)) 私人有限公司 ★ (沒有董事、股東或實益擁有人為政治人物)	<input type="checkbox"/> Companies with director(s) or shareholder(s) or beneficial owner(s) as PEPs, whose source of wealth and funds is unclear or has a unduly complex structure 機構內有政治人物為董事、股東或實益擁有人，而他們的資產和資金來源並不清晰；有一個不恰當地複雜的架構
	<input type="checkbox"/> Government and public body ★ 政府及公共機構 ★	<input type="checkbox"/> Partnerships★ 合夥 ★	<input type="checkbox"/> Cash intensive business such as casinos, sauna, military sector, money changer and remittance agencies 現金密集型業務包括賭場、桑拿、軍事部門、兌錢商和貨幣匯兌業
	<input type="checkbox"/> Solicitor's client accounts 律師的當事人帳戶	<input type="checkbox"/> Individual natural persons 獨立自然人 <input type="checkbox"/> Trust accounts★ 信託帳戶 ★	<input type="checkbox"/> Companies whose place of incorporation is in countries with insufficient FATF regulations after internal country risk assessment 經本公司的國家風險評估後，機構所成立的國家被界定為沒有足夠特別組織管制法規的國家
	<input type="checkbox"/> Others, Please specify 其他，請說明： _____	<input type="checkbox"/> Others, Please specify 其他，請說明： _____	<input type="checkbox"/> Others, Please specify 其他，請說明： _____
Classification Result: 分類結果：	<input type="checkbox"/> LOW 低	<input type="checkbox"/> MEDIUM 中	<input type="checkbox"/> HIGH 高 <i>Please fill in Enhanced Customer Due Diligence Form 請填寫附加盡職調查</i>
<input type="checkbox"/> Reviewed the Anti-money laundering report. 已查閱反洗錢報告			
★ Regulated by Financial Action Task Force ("FATF") (www.fatf-gafi.org) or FATF equivalent jurisdiction which are internally assessed to be non-high risk. 被財務行動特別組織 ("特別組織") (www.fatf-gafi.org) 或對等司法管轄區管制，並經本公司界定為非高風險。			

Commission Rate:	Phone in	% (min) HK\$	Internet/Mobile	% (min) HK\$
Trading Limit:	HKD		Margin Loan Limit:	HKD
Annual Interest Rate (Margin):	BOCHK Prime + %			

	Account Received by	Document Checked by	Input by	Data Checked by	Approved by RA1	Approved by RA4,9
Initial						
Date						